

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of : **Attn: APPLICATION BRANCH**
Hiroshi SOTOZAKI et al. : Attorney Docket No. 2004_0208
Serial No. NEW :
Filed February 10, 2004 :

METHOD AND APPARATUS FOR
POLISHING A SUBSTRATE
(Rule 1.53(b) Continuation
of Serial No. 10/283,154,
Filed October 30, 2002, which is a divisional
of Serial No. 09/434,482, filed November 5, 1999)

THE COMMISSIONER IS AUTHORIZED
TO CHARGE ANY DEFICIENCY IN THE
FEES FOR THIS PAPER TO DEPOSIT
ACCOUNT NO. 23-0975

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of ☒ the references listed on attached form PTO-1449 and/or ☐ the additional information identified below in paragraph 3. A legible copy of each reference listed on the form PTO-1449 and each U.S. patent application listed below is enclosed, except a copy is not provided for each reference previously cited by or submitted to the Patent Office in prior parent application Serial No. 10/283,154.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, **or**

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

and thus no certification and/or fee is required.

- 1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

- (1) ☐ the certification of paragraph 2 below is provided, **or**
(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

- 1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and
the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

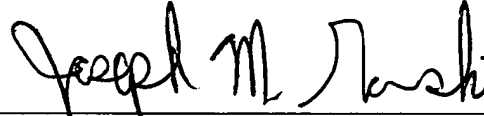
- a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or
b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
 - b. ☐ a foreign patent office search report (in the English language) submitted herewith,
 - c. ☐ the concise explanation contained in the specification of the present application at page ,
 - d. ☐ the concise explanation set forth in the attached English language abstract,
 - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☐ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Hiroshi SOTOZAKI et al.

By 

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February 10, 2004

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)
(Use several sheets if necessary)

Date Submitted to PTO: February 10, 2004

ATTY DOCKET NO.
2004_0208SERIAL NO.
NEWAPPLICANT
Hiroshi SOTOZAKI et al.FILING DATE
February 10, 2004

GROUP

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	6,125,861	10/2000	Gupta et al.			
	AB	5,996,594	12/1999	Roy et al.			
	AC	6,116,986	9/2000	Togawa et al.			
	AD	6,227,950	5/2001	Hempel et al.			
	AE	5,989,107	11/1999	Shimizu et al.			
	AF	6,050,884	4/2000	Togawa et al.			
	AG	6,148,463	11/2000	Shimizu et al.			
	AH	6,110,024	8/2000	Togawa			
	AI	5,827,110	10/1998	Yajima et al.			
	AJ	5,616,063	4/1997	Okumura et al.			
	AK	5,830,045	11/1998	Togawa et al.			
	AL	3,923,567	12/1975	Lawrence			
	AM	4,141,180	2/1978	Gill, Jr. et al.			
	AN	5,725,414	3/1998	Moinpour et al.			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
	AO	10-125641	5/1998	JP				
	AP	0 761 387	3/1997	EP				

OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AQ	U.S. Patent Application Serial No. 09/301,178
	AR	

EXAMINER

DATE CONSIDERED

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U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,655,954	8/1997	Oishi et al.			
	AB	6,036,582	3-2000	Aizawa et al.			
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
	AJ	0 757 378	2/1997	EP				
	AK	0 774 323	5/1997	EP				
	AL							
	AM							
	AN							

OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AO	
	AP	
	AQ	

EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.